



09757399- GAU 2171

Attorney Docket No. 50325-1646

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Gary Hallmark

Serial No.: 09/757,399

Filed on: January 5, 2001

) Confirmation No.: 4042  
)  
) Examiner: FRANZ COBY  
)  
) Group Art Unit No.: 2171  
)

For: METHOD AND APPARATUS FOR IMPLEMENTING PARALLEL OPERATIONS IN  
A DATABASE MANAGEMENT SYSTEM

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with  
copies of the documents cited on that form, if needed. Pursuant to 37 C.F.R. § 1.97, the  
submission of this Information Disclosure Statement is not to be construed as a representation  
that a search has been made and is not to be construed as an admission that the information cited  
in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted  
under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

☐

37 C.F.R. §1.97(b). It is respectfully requested that the cited documents be  
considered and that the enclosed Information Disclosure Citation Form PTO-  
1449 be initialed by the Examiner to indicate such consideration and a copy  
thereof returned to applicant(s).

☒

37 C.F.R. §1.97(c). If so, then this Information Disclosure Statement includes  
one of the following:

☐

A statement pursuant to 37 C.F.R. §1.97(e)

The PTO did not receive the following  
listed item(s) 1A checked for 180.00

☐ 1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

☐ 1.97(e)(2) The undersigned hereby states that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.



A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

It is respectfully requested that the cited documents be considered and that the enclosed Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

☐ 37 C.F.R. §1.97(d). If so, then this Information Disclosure Statement includes the following:

☐ A statement pursuant to 37 C.F.R. §1.97(e)

☐ 1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement; OR

☐ 1.97(e)(2) The undersigned hereby states that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

AND

☐ A check for \$180.00 for the fee under 37 C.F.R. §1.17(i) for submission of the Information Disclosure Statement.

It is respectfully requested that the cited documents be considered and that the enclosed Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

☐ 37 C.F.R. §1.97(i). Applicants are submitting references to satisfy Applicants' disclosure obligations in hopes that the references will be considered by the Examiner. Although the submission does not fully meet 37 C.F.R. §1.97, Applicant respectfully requests that the cited documents be considered and that the enclosed Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to Applicant(s). It is understood that if the Examiner does not consider the cited references, the cited documents will be placed in the file pursuant to 37 C.F.R. §1.97(i).

Accordingly, copies of the references as listed on the attached Form PTO 1449 are submitted herewith. No certification or fees are deemed necessary.



The Examiner is hereby notified that the present application is related to the following related application(s):

**DISCLOSURE OF RELATED APPLICATIONS**

U.S. Application/ Pat. No.	File Date	Atty. Docket. No.
10/305,744	11/27/2002	50277-2069
11/237,039	09/27/2005	50277-2867
11/242,361	09/30/2005	50277-2822

The related application(s) may contain subject matter that is related to the subject matter of the present application. The related application(s) may contain one or more claims that may be substantially similar to one or more claims in the present application, and those claims may have been rejected in the related application(s). Therefore, the Examiner is encouraged to review the file history(ies) of the related application(s) as some of the information contained therein may be material to the examination of the present application.



The Examiner is hereby notified that for the following related application(s) an Office Action has been received as indicated below:

**DISCLOSURE OF OFFICE ACTIONS**

U.S. Application/ Pat. No.	File Date	Office Action Mailing Date	Atty. Docket. No.
10/305,744	11/27/2002	03/03/2006	50277-2069

The related application(s) may contain one or more claims that may be substantially similar to one or more claims in the present application, and those claims may have been rejected in the related application(s). Therefore, the Examiner is encouraged to review the file history(ies) of the related application(s) as some of the information contained therein may be material to the examination of the present application.

Throughout the pendency of this application, please charge any additional fees, including any required extension of time fees, and credit all overpayments to deposit account 50-1302.

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: June 2, 2006



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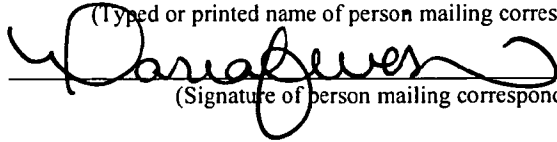
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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

June 2, 2006  
(Date of Deposit)

Maria Eivers

(Typed or printed name of person mailing correspondence)



(Signature of person mailing correspondence)

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (PTO-1449)				<b>ATTY. DOCKET NO.</b> 50277-1646		<b>SERIAL NO.</b> 09/757,399	
				<b>APPLICANT:</b> Gary Hallmark			
				<b>FILING DATE:</b> January 5, 2001		<b>GROUP:</b> 2171	
<b>U.S. PATENT DOCUMENTS</b>							
Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM/YYYY	Classification	
		Number	Kind Code <sup>2</sup> (If known)				
/D.T./		4,769,772		Dwyer	09-06-1988		
/D.T./		4,829,427		Green	05-09-1989		
/D.T./		5,091,852		Tsuchida et al.	02-25-1992		
/D.T./		5,325,525		Shan et al.	06-28-1994		
/D.T./		5,339,429		Tanaka et al.	08-16-1994		
/D.T./		5,452,468		Peterson	09-16-1995		
/D.T./		5,495,419		Rostoker et al.	02-27-1996		
/D.T./		5,495,606		Borden et al.	02-27-1996		
/D.T./		5,551,027		Choy et al.	08-27-1996		
/D.T./		5,574,900		Huang et al.	11-12-1996		
/D.T./		5,590,319		Cohen et al.	12-31-1996		
/D.T./		2005/0283471	A1	Ahmed	12-22-2005		
/D.T./		2006/0041537	A1	Ahmed	02-23-2006		

OTHER ART - NO PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation <sup>2</sup>
/D.T./		GERMAN PATENT OFFICE, "Office Action," GR App. No. P4479320.9-53, dated December 22, 2005 (5 pages), with English translation (4 pages).	
/D.T./		Current Claims, GR App. No. P4479320.9-53, 9 pages (attached)	
/D.T./		BORLA-SALAMET, PASCALE, "Compiling Control into Database Queries for Parallel Execution Management," IEEE Conference on Parallel Distributed Information Systems, 1991, ISBN 0-8186-2295-4, pp. 271-279.	

Examiner Signature	/Dennis Truong/	Date Considered	04/25/2011
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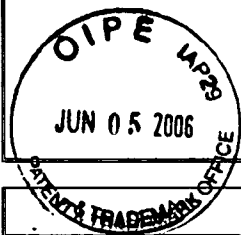
\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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## OTHER ART – NO PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation <sup>2</sup>
/D.T./		BERGSTEN, et al., "Prototyping DBS3 a Shared-Memory Parallel Database System", IEEE, 226-234, 1991.	
/D.T./		BHIDE, ANUPAM "An Analysis of Three Transaction Processing Architectures", Computer Science Division, UC Berkeley, 1998, pp. 339-350.	
/D.T./		COPELAND, GEORGE et al., "Data Placement in Bubba," MCC, 1988, pp. 99-108.	
/D.T./		DEWITT, et al., "A Performance Analysis of the Gamma Database Machine," Computer Sciences Department, University of Wisconsin, 1988, pp. 350-360.	
/D.T./		ENGLERT, SUSAN et al., "A Benchmark of NonStop SQL Release 2 Demonstrating Near-Linear Speedup and Scaleup on Large Databases", Technical Report 89.4, May 1989, pp. 1-23.	
/D.T./		HIRANO, et al., "Load Balancing Algorithm for Parallel Processing on Shared Memory Multiprocessor ", IEEE, pp. 210-217, 1991.	
/D.T./		HONG, et al., "Optimization of Parallel Query Execution Plans in XPRS ", Proceedings of the First International Conference on Parallel and Distributed Information Systems, IEEE, 1991, pp. 218-225.	

Examiner Signature	/Dennis Truong/	Date Considered	04/25/2011
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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/D.T./		GRAEFE, GOETZ, "Encapsulation of Parallelism in the Volcano Query Processing System," March 1990, pp. 102-111.	
/D.T./		LEVERENZ et al., "Oracle 8i Concepts Release 8.1.5", Oracle Corporation, Feb. 1999, located on the internet at < <a href="http://www.csee.umbc.edu/help/oracle8/server.815/a67781/toc.htm">http://www.csee.umbc.edu/help/oracle8/server.815/a67781/toc.htm</a> >, 121 pages.	
/D.T./		STONEBRAKER, MICHAEL, et al. "The Design of XPRS," et al., EECS Department UC Berkeley, 1988, pp. 318-330.	
/D.T./		TANDEM, "A Benchmark of NonStop SQL on the Debit Credit Transaction", The Tandem Performance Group, 1988, pp. 337-341.	

Examiner Signature	/Dennis Truong/	Date Considered	04/25/2011
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